

**MONTH END ACTIVITY REPORT**  
**Bureau of Securities**  
**January 2013**

<b>Securities Registrations</b>			
<b>Filing/Security Type</b>	<b>Paper</b>	<b>Electronic</b>	<b>Total</b>
Additional			0
Oversales			0
Renewal Filings			0
New Notice Filings			0
Common Stock			0
Limited Partnerships			0
Preferred Stock			0
REIT			0
Debt			0
Qualification			0
Other			0
Denials			0
Sales of Unregistered Securities			0
Withdrawals			0

<b>Broker-Dealers and Broker-Dealer Agents</b>			
<b>Broker-Dealers</b>			
<b>Activity</b>	<b>FINRA</b>	<b>Non-FINRA</b>	<b>Total</b>
New	0	0	0
Applications Withdrawn/Abandoned	0	0	0
Applications Denied	0	0	0
Terminations	0	0	0
Gain/Loss Broker-Dealers	0	0	0
Total Broker-Dealers Registered as of May 31, 2012	0	0	0
<b>Broker-Dealer Agents</b>			
<b>Activity</b>	<b>FINRA</b>	<b>Non-FINRA</b>	<b>Total</b>
New (Includes Automatic, Manual, Temp. Queues)	0	0	0
Denied	0	0	0
Terminations	0	0	0
Gain/Loss Agents	0	0	0
Total BD Agents Registered as of May 31, 2012	0	0	0

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<b>Investment Advisers and Representatives</b>			
<b>Investment Advisers</b>			
<b>Activity</b>	<b>State</b>	<b>Federal</b>	<b>Total</b>
New	0	0	16
Applications Withdrawn	0	0	0
Registrations Terminated/Withdrawn	0	0	0
Denied	0	0	0
Gain/Loss effective registrations	0	0	0
Total IA's Registered as of May 31, 2012	0	0	0
<b>Investment Adviser Representatives</b>			
<b>Activity</b>	<b>State</b>	<b>Federal</b>	<b>Total</b>
New	0	0	0
Denied	0	0	0
Terminated	0	0	0
Gain/Loss effective registrations	0	0	0
Total IAR's Registered as of May 31, 2012	0	0	0

<b>Exemptions</b>			
<b>Exemption Type</b>	<b>Number</b>		
8-1108.02(2)	0		
8-1108.02(3)			
8-1111(16)			
8-1110(5)(b)			
8-1111(20)			
8-1110(8)			
8-1111(9)	0		
8-1111(11)(a)			
8-1111(11)(b)			
8-1111(14)			
8-1111(15)			
8-1111(17)			
Total Exemptions as of May 31, 2012	0		



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